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PTO/SB/21 (08-00)

Approved for use through 10/31/2002. OMB 0651-0031

U.S. Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE

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| | | | |
|---|---|------------------------|-------------------|
| <h1 style="text-align: center;">TRANSMITTAL FORM</h1> <p style="text-align: center;">(to be used for all correspondence after initial filing)</p> | | Application Number | 60/288,944 |
| | | Filing Date | May 04, 2001 |
| | | First Named Inventor | Steven M. Rothman |
| | | Group Art Unit | none |
| | | Examiner Name | none |
| Total Number of Pages in This Submission | 4 | Attorney Docket Number | 1908-95650 |

| ENCLOSURES (check all that apply) | | |
|--|--|--|
| <input checked="" type="checkbox"/> Fee Transmittal Form <input type="checkbox"/> Fee Attached <input type="checkbox"/> Amendment / Response <input type="checkbox"/> After Final <input type="checkbox"/> Affidavits / declaration(s) <input type="checkbox"/> Extension of Time Request <input type="checkbox"/> Express Abandonment Request <input type="checkbox"/> Information Disclosure Statement <input type="checkbox"/> Certified Copy of Priority Document(s) <input type="checkbox"/> Response to Missing Parts/ Incomplete Application <input type="checkbox"/> Response to Missing Parts under 37 CFR 1.52 or 1.53 | <input type="checkbox"/> Assignment Papers (for an Application) <input type="checkbox"/> Drawing(s) <input type="checkbox"/> Licensing-related Papers <input checked="" type="checkbox"/> Petition <input type="checkbox"/> Petition to Convert to a Provisional Application <input type="checkbox"/> Power of Attorney, Revocation Change of Correspondence Address <input type="checkbox"/> Terminal Disclaimer <input type="checkbox"/> Request for Refund <input type="checkbox"/> CD, Number of CD(s) _____ | <input type="checkbox"/> After Allowance Communication to Group <input type="checkbox"/> Appeal Communication to Board of Appeals and Interferences <input type="checkbox"/> Appeal Communication to Group (Appeal Notice, Brief, Reply Brief) <input type="checkbox"/> Proprietary Information <input type="checkbox"/> Status Letter <input type="checkbox"/> Other Enclosure(s) (please identify below): |
| Remarks | | |

| SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT | |
|--|----------------------|
| Firm or Individual name | Matthew A. Rosenberg |
| Signature | 40,149 |
| Date | May 06, 2002 |

| CERTIFICATE OF MAILING | | | |
|---|----------------------|------|--------------|
| I hereby certify that this correspondence is being deposited with the United States Postal Service as first class mail in an envelope addressed to: Assistant Commissioner for Patents, Washington, D.C. 20231 on this date: May 06, 2002 | | | |
| Typed or printed name | Matthew A. Rosenberg | | |
| Signature | | Date | May 06, 2002 |

Burden Hour Statement: This form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Washington, DC 20231.



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FEE TRANSMITTAL for FY 2002

Patent fees are subject to annual revision.

TOTAL AMOUNT OF PAYMENT (\$) 500.00

Complete if Known

| | |
|----------------------|-------------------|
| Application Number | 60/288,944 |
| Filing Date | 05/04/2001 |
| First Named Inventor | Steven M. Rothman |
| Examiner Name | |
| Group Art Unit | |
| Attorney Docket No. | 1908-95650 |

METHOD OF PAYMENT

1. ☒ The Commissioner is hereby authorized to charge indicated fees and credit any overpayments to:
- Deposit Account Number **50-1572**
- Deposit Account Name **Blumenfeld, Kaplan & Sandweiss**
- ☒ Charge Any Additional Fee Required Under 37 CFR 1.16 and 1.17
- ☒ Applicant claims small entity status. See 37 CFR 1.27
2. ☐ Payment Enclosed:
- ☐ Check ☐ Credit card ☐ Money Order ☐ Other

FEE CALCULATION

1. BASIC FILING FEE

| Large Entity Fee Code (\$) | Small Entity Fee Code (\$) | Fee Description | Fee Paid |
|----------------------------|----------------------------|------------------------|----------|
| 101 740 | 201 370 | Utility filing fee | 370.00 |
| 106 330 | 206 165 | Design filing fee | |
| 107 510 | 207 255 | Plant filing fee | |
| 108 740 | 208 370 | Reissue filing fee | |
| 114 160 | 214 80 | Provisional filing fee | |

SUBTOTAL (1) (\$) 370.00

2. EXTRA CLAIM FEES

Total Claims **12** -20** = **0** x **9.00** = **0.00**

Independent Claims **3** -3** = **0** x **42.00** = **0.00**

Multiple Dependent **140.00** = **0.00**

| Large Entity Fee Code (\$) | Small Entity Fee Code (\$) | Fee Description |
|----------------------------|----------------------------|--|
| 103 18 | 203 9 | Claims in excess of 20 |
| 102 84 | 202 42 | Independent claims in excess of 3 |
| 104 280 | 204 140 | Multiple dependent claim, if not paid |
| 109 84 | 209 42 | ** Reissue independent claims over original patent |
| 110 18 | 210 9 | ** Reissue claims in excess of 20 and over original patent |

SUBTOTAL (2) (\$) 0.00

**or number previously paid, if greater; For Reissues, see above

FEE CALCULATION (continued)

3. ADDITIONAL FEES

| Large Entity Fee Code (\$) | Small Entity Fee Code (\$) | Fee Description | Fee Paid |
|----------------------------|----------------------------|--|----------|
| 105 130 | 205 65 | Surcharge - late filing fee or oath | |
| 127 50 | 227 25 | Surcharge - late provisional filing fee or cover sheet | |
| 139 130 | 139 130 | Non-English specification | |
| 147 2,520 | 147 2,520 | For filing a request for <i>ex parte</i> reexamination | |
| 112 920* | 112 920* | Requesting publication of SIR prior to Examiner action | |
| 113 1,840* | 113 1,840* | Requesting publication of SIR after Examiner action | |
| 115 110 | 215 55 | Extension for reply within first month | |
| 116 400 | 216 200 | Extension for reply within second month | |
| 117 920 | 217 460 | Extension for reply within third month | |
| 118 1,440 | 218 720 | Extension for reply within fourth month | |
| 128 1,960 | 228 980 | Extension for reply within fifth month | |
| 119 320 | 219 160 | Notice of Appeal | |
| 120 320 | 220 160 | Filing a brief in support of an appeal | |
| 121 280 | 221 140 | Request for oral hearing | |
| 138 1,510 | 138 1,510 | Petition to institute a public use proceeding | |
| 140 110 | 240 55 | Petition to revive - unavoidable | |
| 141 1,280 | 241 640 | Petition to revive - unintentional | |
| 142 1,280 | 242 640 | Utility issue fee (or reissue) | |
| 143 460 | 243 230 | Design issue fee | |
| 144 620 | 244 310 | Plant issue fee | |
| 122 130 | 122 130 | Petitions to the Commissioner | 130.00 |
| 123 50 | 123 50 | Processing fee under 37 CFR 1.17(q) | |
| 126 180 | 126 180 | Submission of Information Disclosure Stmt | |
| 581 40 | 581 40 | Recording each patent assignment per property (times number of properties) | |
| 146 740 | 246 370 | Filing a submission after final rejection (37 CFR § 1.129(a)) | |
| 149 740 | 249 370 | For each additional invention to be examined (37 CFR § 1.129(b)) | |
| 179 740 | 279 370 | Request for Continued Examination (RCE) | |
| 169 900 | 169 900 | Request for expedited examination of a design application | |

Other fee (specify) _____

*Reduced by Basic Filing Fee Paid

SUBTOTAL (3) (\$) 130.00

SUBMITTED BY

| | | | | | |
|-------------------|----------------------|-----------------------------------|------------|-----------|----------------|
| Name (Print/Type) | Matthew A. Rosenberg | Registration No. (Attorney/Agent) | 40,149 | Telephone | (314) 863-0800 |
| Signature | | Date | 05/06/2002 | | |

WARNING: Information on this form may become public. Credit card information should not be included on this form. Provide credit card information and authorization on PTO-2038.

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CERTIFICATE OF MAILING BY "EXPRESS MAIL" (37 CFR 1.10)

In re Application of:

Steven M. Rothman

For:

SYSTEM AND METHOD FOR COOLING THE CORTEX TO TREAT
NEOCORDICAL SEIZURES

Serial No.:

60/288,944

Filed:

May 04, 2001

Examiner:

none

Group Art Unit:

none

I hereby certify that this

Transmittal Form;
Fee Transmittal; and
Petition to Convert Provisional Application Under 37 C.F.R. §1.53(c)(3)

are being deposited with the United States Postal Service "Express Mail Post Office to Addressee" service under
37 CFR 1.10 in an envelope addressed to: The Assistant Commissioner for Patents, Washington, D.C. 20231
on May 06, 2002
(Date)

Matthew A. Rosenberg

(Typed or Printed Name of Person Mailing Correspondence)

(Signature of Person Mailing Correspondence)

EL805227290US

("Express Mail" Mailing Label Number)

#2



Attorney Docket No. 1908-95650

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Application of: Steven M. Rothman

For: SYSTEM AND METHOD FOR COOLING THE
CORTEX TO TREAT NEOCORDICAL
SEIZURES

Serial No.: 60/288,944

Filed: May 4, 2001

Examiner: none

Group Art Unit: none

Commissioner for Patents
Box PROVISIONAL PATENT APPLICATION
P.O. Box 2327
Arlington, VA 22202

Dear Sir:

PETITION TO CONVERT PROVISIONAL APPLICATION UNDER 37 C.F.R. §1.53(c)(3)

COMES NOW the Applicant, Steven M. Rothman, by and through counsel and respectfully petitions the Director under 37 C.F.R. §1.53(c)(3) to convert the above-identified provisional patent application to a non-provisional application under 37 C.F.R. §1.53(b), and for his Petition states as follows:

1. Applicant filed the above-identified patent application as a provisional application on May 4, 2001, which is pending until May 6, 2002.
2. Applicant wishes to convert the aforesaid application to a non-provisional application.
3. No amendment is necessary, as the application was originally filed with claim all information necessary for a non-provisional application under 37 C.F.R. §1.53(b)

05/23/2002 JTIPPETT 00000004 501572 60288944
01 FC:122 130.00 CH
02 FC:201 370.00 CH

4. Applicant has attached hereto a Fee Transmittal form authorizing the appropriate fees for both the non-provisional application and for this Petition.

5. Applicant has engaged the undersigned as new counsel to prosecute the aforesaid application, who is acting under 37 C.F.R. §§1.31 and 1.33(a) in signing this Petition.

6. Accordingly, ***Applicant seeks a change in correspondence address to that of Customer No. 25716.***

WHEREFORE, Applicant prays that the Director convert the above-identified provisional application to a non-provisional application ***and change the correspondence address to that of Customer No. 25716.***

Respectfully submitted,



Matthew A. Rosenberg
Reg. No. 40,149
Attorney for Applicant

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